

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary KATZ and Greg MAYNARD
Application : 10/771,993
Filed : February 3, 2004
For : AUTOMATED EXCHANGE FOR TRADING OF
COMPLEX ORDERS
Group Art Number : 3691
Examiner : Kellie Campbell

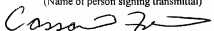
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January 28, 2010

Date of Signature

AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Amendment is submitted with a Request for Continued Examination (RCE) in
response to the Final Office Action in the above-captioned application, dated November 4, 2009.

In addition, an Information Disclosure Statement (IDS) is submitted contemporaneous
with this Amendment. The materials identified in that IDS were previously presented in an IDS

submitted on December 30, 2009, which did not include a statement under 37 C.F.R. 1.97(e) required for submission after issuance of a Final Office Action. Applicants respectfully request that the Examiner consider these references now, as they are filed prior to the first action following an RCE under 37 C.F.R. 1.97(b)(4).

A listing of the Claims begins at page 2.

Applicants' Remarks begin at page 8.

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